

**MAR 23 2007**

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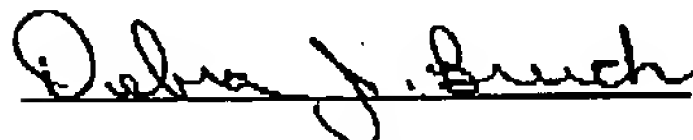
September 15, 2006

**TO:** Examiner Nga B. Nguyen  
**COMPANY:** U.S. Patent and Trademark Office – Art Unit 3628  
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**FROM:** Rudolph P. Hofmann  
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**RE:** U.S. Patent Application 09/930786  
Our File No. 60021-375602

**CERTIFICATE OF FACSIMILE TRANSMISSION**

I hereby certify that a Supplemental Information Disclosure Statement is being facsimile transmitted on the date shown below, to the U.S. Patent and Trademark Office.



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MAR 23 2007

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sloan, Ronald E.

Serial No: 09/930,786

Filed: 08/15/2001

Title: Financial portfolio risk management

Docket No: 060021-375602

Group Art Unit: 3692

Examiner: Nguyen, Nga B.

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## Certificate of Mailing/Transmittal

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Debra J. Bruch 3-23-07  
Date

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists.

This Information Disclosure Statement is being submitted:

- ☐ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first office action on the merits, or before the mailing of a first office action after filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- ☐ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of

allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:

- ☐ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

- ☐ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

- ☒ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

- ☒ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

- ☒ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375602.

Respectfully submitted,

By 

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SUBSTITUTE FOR FORM 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use several sheets if necessary)	ATTY. DOCKET NO. 060021-375602US	SERIAL NO. 09/930,786
	APPLICANT Sloan, Ronald E.	
	FILING DATE 08/15/2001	GROUP 3692

## U.S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No.	

EXAMINER

DATE CONSIDERED

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.